

Equity Services, Inc. - Held NMS Stocks and Options Order Routing Public Report
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3rd Quarter, 2021

July 2021

S&P 500 Stocks

Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
761	100	563	73.98	46	6.04	152	19.97	0	0

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
Citadel Securities LLC(CDRG)	365	35.03	289	51.33	19	40	57	13.19	0	0	0	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	217	20.83	0	0	5	11	212	49.07	0	0	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	202	19.39	158	28.06	9	19	35	8.1	0	0	0	0	0	0	0	0	0	0
New York Stock Exchange(NYSE)	110	10.56	0	0	3	6	107	24.77	0	0	0	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST)	86	8.25	69	12.26	8	17	9	2.08	0	0	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	27	2.59	25	4.44	1	2	1	0.23	0	0	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	17	1.63	11	1.95	1	2	5	1.16	0	0	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	12	1.15	11	1.95	1	2	0	0	0	0	0	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	6	0.58	0	0	0	0	6	1.39	0	0	0	0	0	0	0	0	0	0

Material Aspects:

July 2021

Non S&P 500 Stocks

Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
3352	100	3193	95.26	24	0.72	132	3.94	3	0.09

Venues

Material Aspects:

August 2021

S&P 500 Stocks

Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
664	100	480	72.29	40	6.02	143	21.54	1	0.15

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
Citadel Securities LLC(CDRG)	346	38.19	264	55	23	53	58	15.22	1	50	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	152	16.78	119	24.79	7	16	26	6.82	0	0	0	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	152	16.78	0	0	3	7	149	39.11	0	0	0	0	0	0	0	0	0	0
New York Stock Exchange(NYSE)	103	11.37	0	0	1	2	102	26.77	0	0	0	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST)	100	11.04	74	15.42	8	19	18	4.72	0	0	0	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	18	1.99	0	0	0	0	18	4.72	0	0	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	15	1.66	11	2.29	0	0	4	1.05	0	0	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	11	1.21	7	1.46	0	0	4	1.05	0	0	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	8	0.88	5	1.04	1	2	2	0.52	0	0	0	0	0	0	0	0	0	0
Instinet BlockCross(BLXX)	1	0.11	0	0	0	0	0	0	1	50	0	0	0	0	0	0	0	0

Material Aspects:

August 2021

Non S&P 500 Stocks

Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
3089	100	2836	91.81	35	1	213	6.9	5	0.16

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
Citadel Securities LLC(CDRG)	1499	41.78	1416	49.93	14	37	68	9.76	1	5.88	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	789	21.99	762	26.87	7	18	16	2.3	4	23.53	0	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(INST)	449	12.51	430	15.16	10	26	9	1.29	0	0	0	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	177	4.93	0	0	1	3	176	25.25	0	0	0	0	0	0	0	0	0	0
NYSE Arca(ARCA)	174	4.85	0	0	1	3	173	24.82	0	0	0	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	105	2.93	0	0	0	0	105	15.06	0	0	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	104	2.9	101	3.56	1	3	2	0.29	0	0	0	0	0	0	0	0	0	0
New York Stock Exchange(NYSE)	93	2.59	0	0	2	5	91	13.06	0	0	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	83	2.31	81	2.86	1	3	1	0.14	0	0	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	51	1.42	46	1.62	1	3	4	0.57	0	0	0	0	0	0	0	0	0	0

Material Aspects:

August 2021

Option Contracts

Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
58	100	24	41	2	3.45	32	55.17	0	0

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
Two Sigma Securities, LLC(SOHO)	104	2.9	101	3.56	1	3	2	0.29	0	0	0	0	0	0	0	0	0	0
New York Stock Exchange(NYSE)	93	2.59	0	0	2	5	91	13.06	0	0	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	83	2.31	81	2.86	1	3	1	0.14	0	0	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	51	1.42	46	1.62	1	3	4	0.57	0	0	0	0	0	0	0	0	0	0
Morgan Stanley & Company LLC(MSCO)	5	7.94	3	12.5	0	0	2	5.41	0	0	0	0	0	0	0	0	0	0

Material Aspects:

September

S&P 500 Stocks

Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
702	100	522	74.36	41	5.84	138	19.66	1	0.14

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
Citadel Securities LLC(CDRG)	318	33.02	260	49.81	14	31	44	11.17	0	0	0	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	198	20.56	0	0	9	20	189	47.97	0	0	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	174	18.07	138	26.44	11	24	24	6.09	1	50	0	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST)	110	11.42	84	16.09	8	18	18	4.57	0	0	0	0	0	0	0	0	0	0
New York Stock Exchange(NYSE)	90	9.35	0	0	1	2	89	22.59	0	0	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	24	2.49	20	3.83	1	2	3	0.76	0	0	0	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	22	2.28	0	0	0	0	22	5.58	0	0	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	19	1.97	14	2.68	1	2	4	1.02	0	0	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	7	0.73	6	1.15	0	0	1	0.25	0	0	0	0	0	0	0	0	0	0
Instinet	1	0.1	0	0	0	0	0	0	1	50	0	0	0	0	0	0	0	0
BlockCross(BLXX)	1	0.1	0	0	0	0	0	0	1	50	0	0	0	0	0	0	0	0

Material Aspects:

September 2021

Non S&P 500 Stocks

Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
2889	100	2694	93.25	38	1	147	5.09	10	0.35

Venues

Material Aspects: